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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	99P5552DIV2
First Inventor	Konrad et al.
Title	Process and Apparatus for Producing Oxidic Nanocrystals
Express Mail Label No.	EV 2376777625 US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2.  Applicant claims small entity status.  
See 37 CFR 1.27.
3.  Specification [Total Pages 15]  
(Refer to assignment set form below)  
- Descriptive title of the Invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table, or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claims  
- Abstract of the Disclosure
4.  Drawing(s) (35 U.S.C. 113) [Total Sheets 3]
5. Oath or Declaration [Total Sheets 1]
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
- i.  DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
name in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6.  Application Data Sheet. See 37 CFR 1.76

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

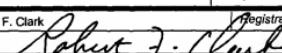
Continuation       Divisional       Continuation-in-part (CIP)      of prior application No. 09/992,883

## Prior application information:

Examiner C. Koslow  
Art Unit: 1755  
For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.

The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**

<input checked="" type="checkbox"/> Customer Number:	24252	OR	<input type="checkbox"/> Correspondence address below
Name	Robert F. Clark		
Address	OSRAM SYLVANIA Inc.		
City	Danvers	State	MA
Country	USA	Telephone	978-750-2275
Name (Print/Type)	Robert F. Clark	Registration No. (Attorney/Agent)	33,853
Signature			Date 9/3/2003

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (or by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

2236 U.S. PRO  
10/65169  
09/2003

# FEE TRANSMITTAL

## for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT

(\$ 750)

## Complete if Known

Application Number	Herewith
Filing Date	Herewith
First Named Inventor	Konrad et al.
Examiner Name	C. Koslow
Art Unit	1755
Attorney Docket No.	9995552D1V2

## METHOD OF PAYMENT (check all that apply)

 Check  Credit card  Money Order  Other  None
 Deposit Account:

Deposit Account Number

Deposit Account Name

15-0685

OSRAM SYLVANIA Inc.

The Director is authorized to: (check all that apply)

 Charge fee(s) indicated below  Credit any overpayments  
 Charge any additional fees during the pendency of this application  
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.
 

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code (\$)	Fee	Fee Code (\$)	Fee Description	Fee Paid
1001 750	2001 375	2051	65	1051 130	Surcharge - late filing fee or oath	
1002 330	2002 165	2052 50	25	1052 50	Surcharge - late provisional filing fee or cover sheet	
1003 520	2003 260			1053 130	Non-English specification	
1004 750	2004 375			1812 2,520	For filing a request for ex parte reexamination	
1005 160	2005 80			1804 920*	Requesting publication of SIR prior to Examiner action	
				1805 1,840*	Requesting publication of SIR after Examiner action	
				1251 110	Extension for reply within first month	
				1252 410	Extension for reply within second month	
				1253 930	Extension for reply within third month	
				1254 1,450	Extension for reply within fourth month	
				1255 1,970	Extension for reply within fifth month	
				1401 320	Notice of Appeal	
				1402 320	Filing a brief in support of an appeal	
				1403 280	140 Request for oral hearing	
				1451 1,510	15.10 Petition to institute a public use proceeding	
				1452 110	15.5 Petition to revive - unavoidable	
				1453 1,300	15.5 Petition to revive - unintentional	
				1501 1,300	650 Utility issue fee (or reissue)	
				1502 470	235 Design issue fee	
				1503 630	315 Plant issue fee	
				1460 130	130 Petitions to the Commissioner	
				1807 50	50 Processing fee under 37 CFR 1.17(q)	
				1806 180	180 Submission of Information Disclosure Stmt	
				8021 40	40 Recording each patent assignment per property (times number of properties)	
				1809 750	375 Filing a submission after final rejection (37 CFR 1.129(a))	
				1810 750	375 For each additional invention to be examined (37 CFR 1.129(b))	
				1801 750	375 Request for Continued Examination (RCE)	
				1802 900	900 Request for expedited examination of a design application	

SUBTOTAL (1) (\$ 750)

## 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Independent Claims	Extra Claims	Fee below	Fee Paid
6	1	-20**	0	0
1	1	-3**	0	0
Multiple Dependent				0

## Large Entity

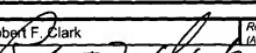
Large Entity	Small Entity	Fee Code (\$)	Fee	Fee Description	Fee Paid
1202 18	2202 9	2201 42	9	Claims in excess of 20	
1203 280	2203 140	2201 42	140	Independent claims in excess of 3	
1204 84	2204 42	2203 140	42	Multiple dependent claim, if not paid	
1205 18	2205 9	2204 42	9	** Reissue independent claims over original patent	
				** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$ 0)

\*\* or number previously paid, if greater. For Reissues, see above

Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$ 0)

(Complete if applicable)

Name (Print/Type)	Robert F. Clark	Registration No. (Attorney/Agent)	33,853	Telephone	978-750-2275
Signature				Date	9/3/2003

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Konrad et al.

Serial No. Division of 09/992,883 Art Unit: 1755

Filed: Herewith Examiner: C. Koslow

For: Process and Apparatus for Producing Oxidic Nanocrystals

Hon. Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Sir:

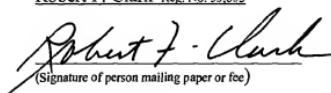
## EXPRESS MAIL CERTIFICATE

"Express Mail" label number EV 237677625 USDate of Deposit September 4, 2003

I hereby certify that the following attached paper or fee

Express Mail Certificate (1 page)  
Fee Transmittal (1 page, in triplicate)  
Utility Patent Application Transmittal (1 page)  
Patent Application (18 pages, including 3 sheets of Drawings)  
Declaration (1 page)  
Preliminary Amendment (9 pages)  
Postcard

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Robert F. Clark Reg. No. 33,853  
(Signature of person mailing paper or fee)